

10/18/00 16954 U.S. PRO

Please type a plus sign (+) inside the box

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

PTO/SB/05 (4/98)
Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE
OMB 0651-0032
Information unless it displays a valid OMB control number.

UTILITY PATENT APPLICATION TRANSMITTAL

(Only for new nonprovisional applications under 37 C.F.R. § 1.53 (b))

Attorney Docket No.

LEX-0070-USA

First Inventor or Application Identifier

C. Alexander Turner Jr. et al.

Title

Novel Human Proteins and Polynucleotides Encoding the Same

Express Mail label No.

EL672756158US

APPLICATION ELEMENTS

See MPEP chapter 600 concerning utility patent application contents

ADDRESS TO:

Assistant Commissioner for Patents
Box Patent Application
Washington, DC 20231

1 ☐ *Fee Transmittal Form (e.g., PTO/SB/17)
(Submit an original and a duplicate for fee processing)

2 ☒ Specification [Total 54]
Pages
(preferred arrangement set forth below)

- Descriptive title of the Invention
- Cross References to Related Applications
- Statement Regarding Fed sponsored R & D
- Reference to Microfiche Appendix
- Background of the Invention
- Brief Summary of the Invention
- Brief Description of the drawings (if filed)
- Detailed Description
- Claim(s)
- Abstract of the disclosure

3 ☐ Drawing(s) (35 U.S.C. 113) [Total 1]
Sheets

4. Oath or Declaration [Total 1]

a. ☒ Newly unexecuted (original or copy)

b. ☐ Copy from a prior application (37 C.F.R. § 1.63(d))
(for continuation/divisional with Box 16 completed)

i. ☐ **DELETION OF INVENTOR(S)**
Signed statement attached deleting
inventor(s) named in the prior application,
see 37 C.F.R. §§ 1.63(d)(2) and 1.33(b).

NOTE FOR ITEMS 1 & 13: IN ORDER TO BE ENTITLED TO PAY SMALL ENTITY FEES, A
SMALL ENTITY STATEMENT IS REQUIRED (37 CFR § 1.27), EXCEPT IF
ONE FILED IN A PRIOR APPLICATION IS RELIED UPON (37 CFR § 1.28).

5. ☐ Microfiche Computer Program (Appendix)

6. Nucleotide and/or Amino Acid Sequence Submission
(if applicable, all necessary)

- a. ☐ Computer Readable Copy
- b. ☒ Paper Copy (identical to computer copy)
- c. ☐ Statement verifying identity of above copies

ACCOMPANYING APPLICATION PARTS

7. ☐ Assignment Papers (cover sheet & document(s))

8. ☐ 37 C.F.R. § 3.73(b) Statement (when there is an assignee) ☐ Power of Attorney

9. ☐ English Translation Document (if applicable)

10. ☐ Information Disclosure Statement (IDS)/PTO-1449 ☐ Copies of IDS Citations

11. ☐ Preliminary Amendment

12. ☒ Return Receipt Postcard (MPEP 503)
(Should be specifically itemized)

13. ☒ *Small Entity Statement(s) ☐ Statement filed in prior application, Status still proper and desired (PTO/B/09-12)

14. ☐ Certified Copy of Priority Document(s)
(if foreign priority is claimed)

15. ☐ Other: _____

16. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below and in a preliminary amendment:

☐ Continuation ☐ Divisional ☐ Continuation-in-part (CIP) of prior application No: _____

Prior application information: Examiner _____

Group/Art Unit: _____

For CONTINUATION or DIVISIONAL APPS only: The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 4b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference.

17. CORRESPONDENCE ADDRESS

☒ Customer Number or Bar Code Label



or ☐ Correspondence address below

Name

24231

PATENT-TRADEMARK OFFICE

Address

City

State

Zip Code

Country

Telephone

(281) 362-6554

Fax

(281) 364-0155

Name (Print/Type)

Lance K. Ishimoto

Registration No.

41866

Signature

Lance K. Ishimoto by [Signature]

Date

October 18, 2000

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Box Patent Application, Washington, DC 20231.

**STATEMENT CLAIMING SMALL ENTITY STATUS
(37 CFR 1.9(f) & 1.27(c)) -- SMALL BUSINESS CONCERN**

Docket Number (Optional)
LEX-0070-USA

Applicant, Patentee, or Identifier: C. Alexander Turner Jr. et al.

Application or Patent No.: _____

Filed or Issued: October 18, 2000

Title: Novel Human Proteins and Polynucleotides Encoding the Same

I hereby state that I am

- ☐ the owner of the small business concern identified below:
☒ an official of the small business concern empowered to act on behalf of the concern identified below:

NAME OF SMALL BUSINESS CONCERN Lexicon Genetics Incorporated

ADDRESS OF SMALL BUSINESS CONCERN 4000 Research Forest Drive, The Woodlands, TX 77381

I hereby state that the above identified small business concern qualifies as a small business concern as defined in 13 CFR Part 121 for purposes of paying reduced fees to the United States Patent and Trademark Office. Questions related to size standards for a small business concern may be directed to: Small Business Administration, Size Standards Staff, 409 Third Street, SW, Washington, DC 20416.

I hereby state that rights under contract or law have been conveyed to and remain with the small business concern identified above with regard to the invention described in:

- ☒ the specification filed herewith with title as listed above.
☐ the application identified above.
☐ the patent identified above.

If the rights held by the above identified small business concern are not exclusive, each individual, concern, or organization having rights in the invention must file separate statements as to their status as small entities, and no rights to the invention are held by any person, other than the inventor, who would not qualify as an independent inventor under 37 CFR 1.9(c) if that person made the invention, or by any concern which would not qualify as a small business concern under 37 CFR 1.9(d), or a nonprofit organization under 37 CFR 1.9(e).

Each person, concern, or organization having any rights in the invention is listed below:

- ☒ No such persons, concerns, or organizations exist.
☐ each such person, concern, or organization is listed below:

Separate statements are required from each named person, concern, or organization having rights to the invention stating their status as small entities. (37 CFR 1.27)

I acknowledge the duty to file, in this application or patent, notification of any change in status resulting in loss of entitlement to small entity status prior to paying, or at the time of paying, the earliest of the issue fee or any maintenance fee due after the date on which status as a small entity is no longer appropriate. (37 CFR 1.28(b))

NAME OF PERSON SIGNING Lance K. Ishimoto

TITLE OF PERSON IF OTHER THAN OWNER Vice President - Intellectual Property

ADDRESS OF PERSON SIGNING 4000 Research Forest Drive, The Woodlands, TX 77381

SIGNATURE _____

DATE October 18, 2000

Reg. No. 41,866